ITS-EPA RTP Escalation and Notification Procedure		
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1. Purpose

Effective incident escalation and notification will reduce the cost related to a service outage by locating resources that can apply a resolution to an incident in a timely manner. It ensures that the appropriate resources are leveraged to restore service and that SUPPORT CONTRACTOR and EPA Management are aware of critical service outages.

This document describes the key elements of escalation and notification to SUPPORT CONTRACTOR and Client management, and provides an escalation/notification plan with specific names and phone numbers of individuals in direct support of the ITS-EPA contract

2. Scope

This procedure applies to all Severity 1 and Severity 2 incidents which exceed the time thresholds defined in Appendix B: ITS-EPA Management Escalation Interval and Level.

3. Roles and Responsibilities

ROLES	RESPONSIBILITIES
SUPPORT CONTRACTOR	
SUPPORT CONTRACTOR Call Center and Console Operations	Responsible for alerting the on duty Level 0 Technical Team Member of Severity 1 and 2 outages. Occasionally, may escalate outages to the SUPPORT CONTRACTOR Level 1 Task Lead.
Level 0 – SUPPORT CONTRACTOR Technical Team Member	Responsible for providing service in response to escalation notification procedures. Additionally, responsible to escalate notification of outages to the Level 1 SUPPORT CONTRACTOR Task Lead at the appropriate time threshold.
Level 1 – SUPPORT CONTRACTOR Task Lead	Upon being notified of the outage and at the appropriate time threshold is responsible to escalates to the appropriate Level 2 SUPPORT CONTRACTOR Senior Framework Manager. Additionally, notifies their Level 1 Client Point-of-Contact(s).
Level 2 – SUPPORT CONTRACTOR Senior Framework Manager	Upon being notified of the outage and at the appropriate time threshold is responsible to escalates to the appropriate Level 3

ROLES	RESPONSIBILITIES
	SUPPORT CONTRACTOR Executive Management
	Additionally, notifies their Level 2 Client Branch Chief.
Level 3 - SUPPORT CONTRACTOR Executive Management	Responsible to notify the appropriate Level 3 Client Director.
CLIENT	
Level 1- Client Point-of-Contact(s).	Responsible to notify the appropriate Level 2 Client Branch Chief.
Level 2 – Client Branch Chief.	Responsible to notify the appropriate Level 3 Client Director.
Level 3 – Client Director	Responsible to notify the appropriate Level 3 Client Chief Technologies Officer.

4. Procedure

The ITS-EPA Escalation Flow Diagram (see Appendix A) depicts the escalation flow.

The guidelines for setting Severity of outages are defined in the ITS-EPA Severity Classification Table (see Appendix D).

If the problem detector is unable to resolve the problem within the predefined time limit, notification of the outage is escalated in accordance with the sequence as described in this procedure.

Escalation is generally handled by paging or telephoning the appropriate person.

It is the intention of this procedure that each level in the sequence only has to escalate to the level above them.

The criteria to escalate an outage are driven by its severity as defined in the ITS-EPA Security Classification Table (see Appendix D). Upon receipt of the initial call into the Call Center, awareness of the outage by the Console Operator, or a pager alert to the Technical Team Member initial technical evaluation is conducted to confirm the severity level. In support of the ITS-EPA account, all suspected Severity 1 and 2 outages are to be escalated to management using the notification procedures identified in this document. The ITS-EPA Management Escalation Interval and Levels Table is used to determine who gets notified and when they get notified (see Appendix B).

Until the outage is resolved, each service level manager escalates to the next level in accordance with the defined thresholds.

The Call Center or Console Operator may have escalated the outage; however, the primary responsibility of ensuring that the first level of notification has occurred at the appropriate interval is that of the Technical Team Member, Level 0, assigned to address the outage. They initiate or confirm escalation and contact with the appropriate SUPPORT

CONTRACTOR Task Lead, Level 1, of the appropriate Service Delivery Organization Framework.

Each level of management, service delivery organization, and site management team has a responsibility for ensuring the contact information contained in the escalation tables is accurate and complete. The SUPPORT CONTRACTOR maintains the most current information on-line. Copies of the Escalation Lists are also posted in ITS-EPA repositories.

4.1   Notify Responsible Service Provider(s)

Once the ticket has been created and assigned, for a severity 1 or severity 2 outage, the Call Center or the Console Operator is responsible for contacting the assigned Technical Team Member for the given problem type.

4.2   Notify Level 0, Technical Team Member, of Outage

Once the assigned Technical Team Member receives the notification from the Call Center, the Console Operator, or a pager alert they immediately acknowledge receipt of the notification.

4.3   Notify Level 1, SUPPORT CONTRACTOR Teal Leads, of Outage

The assigned Technical Team Member is responsible for sending this notification to individuals noted as the appropriate Level 1 SUPPORT CONTRACTOR Task Lead at the specified time interval.

4.4   Notify Level 2, SUPPORT CONTRACTOR Senior Framework Managers, of Outage

Upon being notified of the outage and at the appropriate time threshold, the Level 1 SUPPORT CONTRACTOR Task Lead:

- Escalate to the appropriate Level 2 SUPPORT CONTRACTOR Senior Framework Manager.
- Notify their Level 1 Client Point-of-Contact(s) who, in turn, notifies the Client Level 2 Branch Chief.

4.5   Notify Level 3, SUPPORT CONTRACTOR Executive Management, of Outage

Upon being notified of the problem and at the appropriate time threshold, the Level 2 SUPPORT CONTRACTOR Senior Framework Manager:

- Escalates to the Level 3 SUPPORT CONTRACTOR Executive Management.
- Notifies the Client Level 2 Branch Chief
- Notifies the Client Level 1 Executive Management, as appropriate.

4.6   Notification of Resolution

Once the problem is resolved the resolution is communicated to all the individuals that were notified during the escalation procedure.

5. Key Terms, Acronyms or Abbreviations and Definitions

5.1 Key Terms

Term	Definition
Escalation	The closed-loop Process of engaging technical resources and requesting support up to, and including the SUPPORT CONTRACTOR's Service Delivery Director.
Notification	The process of updating SUPPORT CONTRACTOR Account Management and EPA of service exception status.

5.2 Key Acronyms or Abbreviations

Term	Definition
ITS	Information Technology Solutions
EPA	Environmental Protection Agency
RTP	Research Triangle Park
CTO	Chief Technical Officer
OMIC	OTOP Management Information Center
OTOP	Office of Technology Operations and Planning

6. References and Supporting Materials

PY-01-9002 IM   ITS-EPA RTP Incident Management Process

7. Quality Records

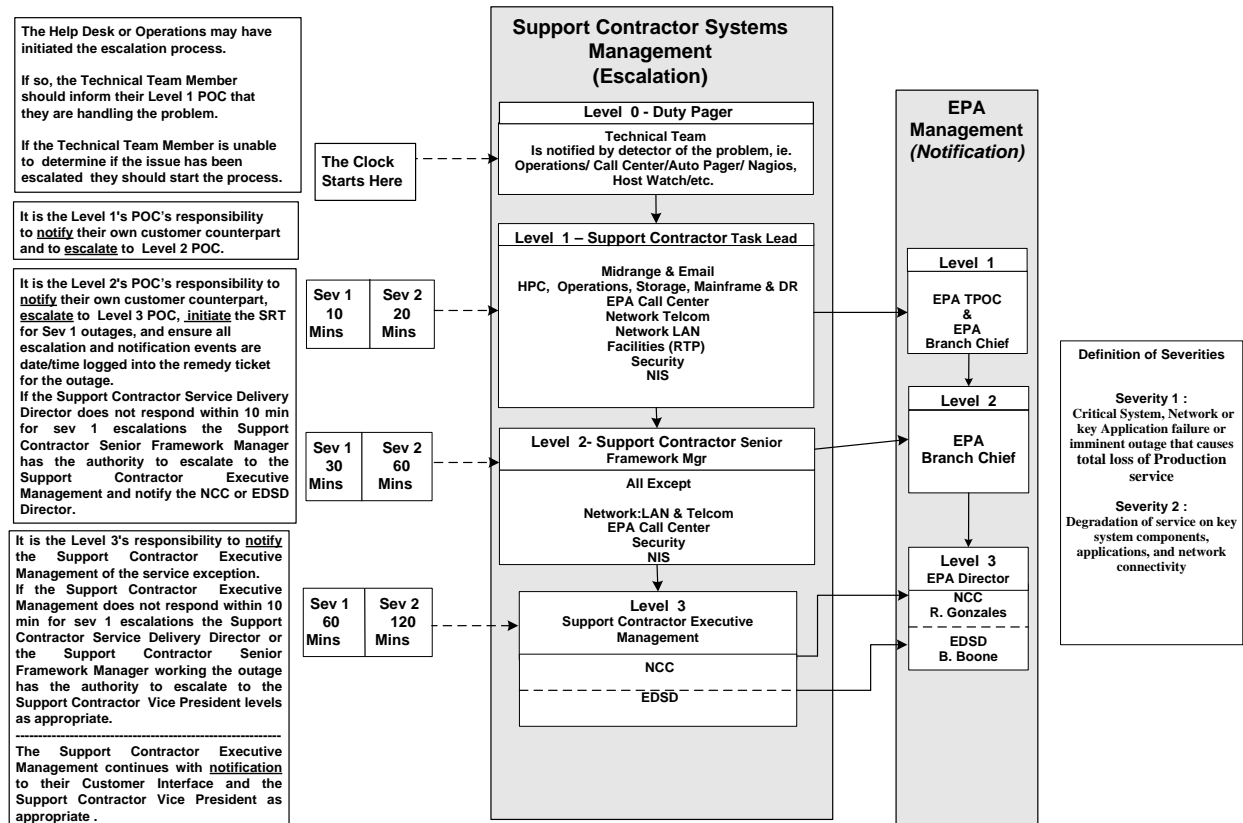| Record	Storage	Retention Duration
None		

8. Appendices

Appendix A   ITS-EPA Escalation Flow

Appendix B   ITS-EPA Management Escalation Interval Level Table

Appendix C   ITS-EPA Escalation Contact Phone Directory

Appendix D   ITS-EPA Severity Classification Table

Appendix A: ITS-EPA Escalation Flow Diagram

ITS-EPA RTP Escalation and Notification Process

The Help Desk or Operations may have initiated the escalation process.

If so, the Technical Team Member should inform their Level 1 POC that they are handling the problem.

If the Technical Team Member is unable to determine if the issue has been escalated they should start the process.

It is the Level 1's POC's responsibility to <u>notify</u> their own customer counterpart and to <u>escalate</u> to Level 2 POC.

It is the Level 2's POC's responsibility to <u>notify</u> their own customer counterpart, <u>escalate</u> to Level 3 POC, <u>initiate</u> the SRT for Sev 1 outages, and ensure all escalation and notification events are date/time logged into the remedy ticket for the outage.
If the Support Contractor Service Delivery Director does not respond within 10 min for sev 1 escalations the Support Contractor Senior Framework Manager has the authority to escalate to the Support Contractor Executive Management and notify the NCC or EDSD Director.

It is the Level 3's responsibility to <u>notify</u> the Support Contractor Executive Management of the service exception.
If the Support Contractor Executive Management does not respond within 10 min for sev 1 escalations the Support Contractor Service Delivery Director or the Support Contractor Senior Framework Manager working the outage has the authority to escalate to the Support Contractor Vice President levels as appropriate.

The Support Contractor Executive Management continues with <u>notification</u> to their Customer Interface and the Support Contractor Vice President as appropriate .

The Clock Starts Here

	Sev 1	Sev 2
	10 Mins	20 Mins
	30 Mins	60 Mins
	60 Mins	120 Mins

Support Contractor Systems Management (Escalation)

Level 0 - Duty Pager
Technical Team
Is notified by detector of the problem, ie. Operations/ Call Center/Auto Pager/ Nagios, Host Watch/etc.

Level 1 – Support Contractor Task Lead
Midrange & Email
HPC, Operations, Storage, Mainframe & DR
EPA Call Center
Network Telcom
Network LAN
Facilities (RTP)
Security
NIS

Level 2- Support Contractor Senior Framework Mgr
All Except
Network:LAN & Telcom
EPA Call Center
Security
NIS

Level 3 Support Contractor Executive Management
NCC

EDSD

EPA Management *(Notification)*

Level 1
EPA TPOC
&
EPA
Branch Chief

Level 2
EPA
Branch Chief

Level 3
EPA Director
NCC
R. Gonzales
EDSD
B. Boone

Definition of Severities

Severity 1 :
Critical System, Network or key Application failure or imminent outage that causes total loss of Production service

Severity 2 :
Degradation of service on key system components, applications, and network connectivity

09/21/09

Appendix B: ITS-EPA Management Escalation Interval and Levels

	Level 0 Initiation	Level 1 Escalation	Level 2 Escalation	Level 3 Escalation	Executive Notification
Time Threshold Severity 1	0 Minutes	10 minutes	30 Minutes	60 Minutes	120 Minutes
Severity 2	0 Minutes	20 Minutes	60 Minutes	120 Minutes	240 Minutes
EPA Call Center	Duty Pager				
Email	Duty Pager				
Facilities (RTP)	Duty Pager				
High Performance Computing	Duty Pager				
Mainframe	Duty Pager				
Midrange	Duty Pager				
Network - Lan	Duty Pager				
Network Telecommunications	Duty Pager				
NIS	Duty Pager				
Operations	Duty Pager				
Security	Duty Pager				
Storage	Duty Pager				

Appendix C: ITS- EPA Telephone Directory

Name	Work Phone	Cell Phone	Home Phone	E-Mail Address

Appendix D: ITS-EPA Severity Classification Table

SEVERITY 1

Severity One Business Impact Definition:

Critical System, Network or key Application failure or imminent outage that causes total loss of Production service. The outage will impact SUPPORT CONTRACTOR's ability to meet one or more service level commitments. The outage will cause a negative impact on EPA's critical business functions.

Total loss of production service on the following key systems or applications will be within the scope of a Severity One outage:

- Facilities

- Mainframe

- HPC Computing

- Public Access

- Email

- Blackberry

- PeoplePlus

- CDX

- Internet Access

- Regional Isolation

SEVERITY 2

Severity Two Business Impact Definition:

Degradation of service on key system components, applications, and network connectivity. This outage may have some degree of impact on SUPPORT CONTRACTOR's ability to meet Service Level commitments. Severity Two outages may result in a partial impact on the customer.

Severity 3 and Severity 4 Outages are not Subject to Escalation and Notification

Minor functions of the system are unavailable, unusable or overall system performance is below minimum load requirements. Minor deficiencies with minimal impact to End-Users, such as cosmetic problems, which affect presentation, but do not interfere with job performance. Workarounds exist that are acceptable or the system recovers on its own

Document Approval/Change History

Document Author:

Document Owner:

Version	Date	Reviewers/Approvers	Change Description
1.0	6/21/07		Initial Document
1.1	7/25/07		Modified format of the flow diagram its supporting text in Sections 4 and 6.1
1.2	8/21/07		Replaced Appendix C with updated version
1.3	5/29/08		Updated Appendix A,B and C with personnel changes
2.0		Reviewer(s): Approver(s):	Major formatting change, eliminated requirements section.